



PTO/SB/08A (10-01)

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>	
				Application Number	09/942,426 - conf. #7416
				Filing Date	August 29, 2001
				First Named Inventor	Peter R. Horsfall
				Art Unit	2161
				Examiner Name	Not Yet Assigned
Sheet	1	of	1	Attorney Docket Number	E3331.0525/P525

U.S. PATENT DOCUMENTS					
Examiner Initials <sup>1</sup>	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			

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		Country Code <sup>3</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
0-R	BA	EP 1 100 030 A1	05-16-2001	Altra Energy Technologies, Inc.		

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See attached Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 801.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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Examiner Signature		Date Considered	8/23/06
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				Filing Date	August 29, 2001
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				Art Unit	N/A
				Examiner Name	Not Yet Assigned
Sheet	1	of	1	Attorney Docket Number	E3879.0030/P030

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		Country Code <sup>4</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
O-A	A	EP-1-100030	10-13-2000	Altra Energy Technologies, Inc.		
O-B	B	WO-01/59661	08-16-2001	Fenichel		

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See attached Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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O-A	C	Project EPM Notes of the business/technical off-site meeting held August 13, 1999 at Waldorf Astoria Hotel, Aldwych, London	
O-A	D	PETER HORSFALL, "EPM Process Overview," August 20, 1999, Version 0, EBS Dealing Resources, Inc.	

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	A	<a href="http://about.reuters.com/newsreleases/art">http://about.reuters.com/newsreleases/art</a> , "Instinet Unveils Technology Architecture of Fix Income Trading Brokerage," New Release, June 15, 1999	

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		Country Code <sup>4</sup> -Number <sup>4</sup> -Kind Code <sup>5</sup> (if known)				
0-18	BA	WO 02/059815 A1	08-01-2002	Compudigm International Limited		
0-18	BB	WO 01/11521 A1	02-15-2001	Carlos A. Beracasa		
0-18	BC	WO 00/11587 A1	03-02-2000	Marketxt, Inc.		

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See attached Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 801.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the application number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

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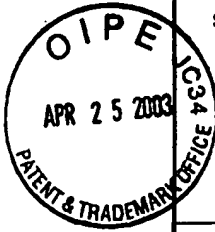
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Substitute for form 1449A/PTO

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet	1	of	1	Attorney Docket Number	E3331.0525/P525
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## Complete if Known

Application Number	09/942,426
Filing Date	August 29, 2001
First Named Inventor	Peter R. Horsfall
Art Unit	N/A
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DA	AA	5,689,652	11-18-1997	Lupien et al.	

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DA	BA	WO 00/16224	03-23-2000	EBS Dealing Resources		
DA	BB	WO 99/19821	04-22-1999	Derivative Net, Inc.		
DA	BC	WO 01/48668	07-05-2001	Xbond Corporation		

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DA	A	UK Search Report dated February 217, 2003	

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0-11	BA	WO 02/099563 A2	12-12-2002	Espeed Inc.		

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